


1. Name of Listed Entity : **ADVENTZ SECURITIES ENTERPRISES LIMITED**

2. Quarter ending: **30th September, 2016**

<b>I Affirmations</b>		
<b>Broad Headings</b>	<b>Regulation Number</b>	<b>Compliance status (Yes/No/NA)</b>
Copy of the annual report including balance sheet, profit and loss account, directors report, corporate governance report, business responsibility report displayed on website	46(2)	Yes
Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes
Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes
Whether "Corporate Governance Report" disclosed in Annual Report	34(3) read with para C of Schedule V	Yes
<b>Note</b> 1. In the column "Compliance Status", compliance or non-compliance may be indicated by Yes/No/N.A.. For example, if the Board has been composed in accordance with the requirements of Listing Regulations, "Yes" may be indicated. Similarly, in case the Listed Entity has no related party transactions, the words "N.A." may be indicated.  2. If status is "No" details of non-compliance may be given here. 3. If the Listed Entity would like to provide any other information the same may be indicated here.		
<b>For Adventz Securities Enterprises Limited</b> <b>Punam Singh</b>  <b>Company Secretary</b>		

1. Name of Listed Entity : **ADVENTIZ SECURITIES ENTERPRISES LIMITED**
2. Quarter ending: **30th September, 2016**

**1. Composition of Board of Directors**

Title (Mr./Ms)	Name of the Director	PAN <sup>§</sup> & DIN	Category (Chairperson/Executive/Non-Executive/Independent & Nominee)	Date of Appointment in the current term /cessation	Tenure*	No of Directorship in listed entities including this listed entity (Refer Regulation 25(1) of Listing Regulations)	Number of memberships in Audit/ Stakeholder Committee(s) including this listed entity (Refer Regulation 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed entity (Refer Regulation 26(1) of Listing Regulations)
Mrs.	Puja Poddar	PAN: ALRPP08228 DIN: 05333989	Non-Executive	29-08-2012	-	-	-	-
Mr.	Akshay Poddar	PAN: AFUPP0096C DIN: 000008686	Non-Executive	12-03-2012	-	8	Audit Committee - 1 Stakeholders Relationship Committee - 1	Stakeholders Relationship Committee - 1
Mr.	Gaurav Agarwala	PAN: AEHPA6396L DIN: 00201469	Non-Executive	15-09-2014	-	1	Audit Committee - 1	Stakeholders Relationship Committee - 1
Mr.	Rewati Raman Goenka	PAN: AGBPG2254K DIN: 00375716	Non-Executive - Independent - Chairman	15-09-2014	5 years	1	Audit Committee - 1 Stakeholders Relationship Committee - 1	Audit Committee - 1
Mr.	Piyush Kumar Khetan	PAN: AENPK2954E DIN: 00348151	Non-Executive - Independent	15-09-2014	5 years	1	Stakeholders Relationship Committee - 1	Audit Committee - 1
Mr.	Kunal Agarwala	PAN: AELPA5198Q DIN: 01205229	Non-Executive - Independent	22-03-2000	5 years	1	-	-

<sup>§</sup> PAN number of any director would not be displayed on the website of Stock Exchange

& Category of directors means executive/non-executive/independent/Nominee. If a director fits into more than one category write all categories separating them with hyphen

\* to be filled only for Independent Director. Tenure would mean total period from which Independent director is serving on Board of directors of the listed entity in continuity without any cooling off period.

*Punam Singh*

**II. Composition of Committees**

Name of Committee	Name of Committee members	Category (Chairperson/Executive/Non-Executive/Independent/Nominee) §
1. Audit Committee	Mr. Piyush Kumar Khetan Mr. Rewati Raman Goenka Mr. Gaurav Agarwala	Non-Executive - Independent - Chairperson Non-Executive - Independent Non-Executive
2. Nomination & Remuneration Committee	Mr. Piyush Kumar Khetan Mr. Rewati Raman Goenka Mr. Gaurav Agarwala	Non-Executive - Independent - Chairperson Non-Executive - Independent Non-Executive
3. Risk Management Committee(if applicable)	N.A.	N.A.
4. Stakeholders Relationship Committee	Mr. Gaurav Agarwala Mr. Rewati Raman Goenka Mr. Piyush Kumar Khetan	Non-Executive - Chairperson Non-Executive - Independent Non-Executive - Independent

§ Category of directors means executive/non-executive/Independent/Nominee. If a director fits into more than one category write all categories separating them with hyphen

III. Meeting of Board of Directors			
Date(s) of Meeting (if any) in the previous quarter	Date(s) of Meeting (if any) in the relevant quarter	Maximum gap between any two consecutive (in number of days)	
30-05-2016	08-08-2016	69	
	05-09-2016	31	

IV. Meeting of Committees			
Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days*
<b>Audit Committee</b>			
08-08-2016	Yes	30-05-2016	69
<b>Stakeholder Relationship Committee</b>			
NIL	-	NIL	-
<b>Risk Management Committee</b>			
N.A.			
<b>Nomination &amp; Remuneration Committee</b>			
NIL	-	NIL	-

\* This information has to be mandatorily be given for audit committee, for rest of the committees giving this information is optional



**V. Related Party Transactions**

Subject	Compliance status (Yes/No/NA) <sup>refer note below</sup>
Whether prior approval of audit committee obtained	Yes
Whether shareholder approval obtained for material RPT	No material RPTs have taken place in this quarter
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	Yes

**Note**

- In the column "Compliance Status", compliance or non-compliance may be indicated by Yes/No/NA. For example, if the Board has been composed in accordance with the requirements of Listing Regulations, "Yes" may be indicated. Similarly, in case the Listed Entity has no related party transactions, the words "N.A." may be indicated.
- If status is "No" details of non-compliance may be given here.

**VI. Affirmations**

- The composition of Board of Directors is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015.
- The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015
  - Audit Committee  
Yes
  - Nomination & remuneration committee  
Yes
  - Stakeholders relationship committee  
Yes
  - Risk management committee (applicable to the top 100 listed entities)  
Yes
- The committee members have been made aware of their powers, role and responsibilities as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.  
Yes
- The meetings of the board of directors and the above committees have been conducted in the manner as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.  
Yes
- This report and/or the report submitted in the previous quarter has been placed before Board of Directors. Any comments/ observations/advice of Board of Directors may be mentioned here:  
Yes.  
**No adverse comments have been given by the Board of Directors**

For Adventz Securities Enterprises Limited  
Punam Singh



Company Secretary

**Note:**

Information at Table I and II above need to be necessarily given in 1st quarter of each financial year. However if there is no change of information in subsequent quarter(s) of that financial year, this information may not be given by Listed entity and instead a statement "same as previous quarter" may be given.